

# Agenda

## Item #3



STATE OF MAINE  
COMMISSION ON GOVERNMENTAL ETHICS  
AND ELECTION PRACTICES  
135 STATE HOUSE STATION  
AUGUSTA, MAINE  
04333-0135

To: Commissioners  
From: Jonathan Wayne, Executive Director  
Date: March 23, 2012  
Re: Chapter 1 Rule Amendments

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The Commission received written comments concerning Chapter 1 from Michele and Joseph Greenier, the Maine Press Association, the Maine Citizens for Clean Elections (MCCE), and the American Civil Liberties Union of Maine. They are attached for your information (except for the comments from the Greeniers and the MCCE which were enclosed with agenda item #2).

After considering the comments and conferring with the Commission's Counsel, the staff proposes seeking additional public comment on a revised version of Section 7(10) concerning the press exception. We are still working on the revised version and will e-mail that to you Monday, March 26. The staff proposes seeking written comment only, because of insufficient time to comply with the notice procedures for a public hearing at the April 25 meeting.

The staff proposes completing the Chapter 1 rule amendments at a later public meeting. The rule amendments are routine technical, so the changes do not need to be submitted to the Legislature.

Thank you for your consideration.



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March 9, 2012

Walter F. McKee, Chair  
Maine Commission on Governmental Ethics and Election Practices  
135 State House Station  
Augusta, Maine 04333

Re: Comments on Proposed Rulemaking

To the Commission:

On behalf of the ACLU of Maine, I wish to first extend our thanks for the invitation to comment on your proposed rules governing internet publishers and low-cost expenditures. As you are probably aware, I represent Dennis Bailey in litigation, along with ACLU of Maine President John M.R. Paterson, Esq., against the Commission relating to these very issues. A more detailed elaboration of our views on the need to protect internet news publishers and the right to anonymous speech can be found in the court filings in that case. I will confine my comments here, to the extent possible to a response to the Commission's actual proposal.

First, we should note our approval that the Commission is interested in updating its rules and practices to take account of the important role that internet communications plays in the creation and distribution of ideas, including political ideas. As your staff has no doubt shared, the Federal Election Commission engaged in a similar process in 2006, which led the development of its own set of rules and guidance regarding internet speech.

Second, while the internet is a new medium with new challenges and opportunities for both users and regulators, the U.S. Supreme Court has made it clear that "there is no basis for qualifying the level of First Amendment scrutiny that should be applied to this

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medium.” *Reno v. ACLU*, 521 U.S. 844, 870 (1997). In other words, the government may not impose burdens on internet writers and publishers that are not imposed on those who communicate through traditional media.

Third, the Commission’s proposal does not go far enough in satisfying this mandate. Maine currently exempts the publication of news stories, editorials, and commentary when they are published through radio, television, newspapers, magazines and other periodicals. 21-A M.R.S.A. §§1012(3)(B)(1) and 1052(4)(B)(1). The Commission proposes to extend that exemption to “periodical publication” in electronic form, but only subject to a narrow set of requirements that are not applied, for example, to news publications made over radio. Nothing in Maine law requires a newspaper or television station to publish for a year before receiving an exemption, nor should that requirement be applied to internet publishers. Also, there is no requirement that the author or publisher of a magazine identify themselves or avoid pseudonyms, and Maine should not make that requirement of internet publishers.

Fourth, when it comes to the regulation of internet publication, the Commission would do well to begin with the proposition acknowledged by the FEC: “the vast majority of Internet communications are, and will remain, free from campaign finance regulation.” Internet Communications, 71 Fed. Reg. 18589 (2006). Regulation of speech on the internet is fraught with peril, for both the speakers themselves, who are often caught up in regulations that they do not understand, and for regulators, who should anticipate finding their efforts challenged in court.

Fifth, the reason why caution and restraint in the regulation of internet speech makes the most sense goes to the heart of the Commission’s mission: insuring that political debates and elections are conducted fairly. The internet is, perhaps, the greatest tool for making our elections more fair. Candidates and commentators alike can widely publish their views at extremely low cost, which mitigates the need for high-dollar fundraising. And, those publications are passively available to the general public—the public can access only the websites that it wants and can avoid being subjected to unwanted or unrequested

publication. The Commission should do more to encourage internet publication, and more confusing regulation is not the answer. In light of this, the ACLU of Maine recommends that proposed Chapter 1, Section 7(10): Press Exemption be rewritten to make it clear that news stories, editorials and commentary published on the internet is exempt from the definition of "expenditure" and "contribution".

Six, while a number of courts have upheld the constitutionality of "paid for" disclosure requirements in facial attacks, the courts have made it clear that those requirements are still potentially subject to as-applied First Amendment challenges. Disclosure requirements directly interfere with a person's right to publish anonymously or under a pseudonym. Anonymous and pseudonymous speech have been a part of American political discourse since before the founding period, and the Supreme Court has repeatedly observed that a person generally has the right to decide for themselves whether or not to disclose their name. For example, in *McIntyre v. Ohio*, the Supreme Court stated:

[A]n author is generally free to decide whether or not to disclose his or her true identity. The decision in favor of anonymity may be motivated by fear of economic or official retaliation, by concern about social ostracism, or merely by a desire to preserve as much of one's privacy as possible. Whatever the motivation may be . . . the interest in having anonymous works enter the marketplace of ideas unquestionably outweighs any public interest in requiring disclosure as a condition of entry. Accordingly, an author's decision to remain anonymous, like other decisions concerning omissions or additions to the content of a publication, is an aspect of the freedom of speech protected by the First Amendment.

514 U.S. 334, 341-42 (1995).

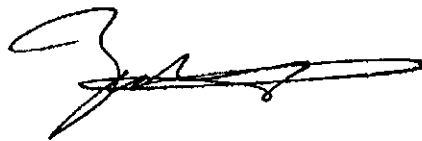
Anonymous speech makes some people uncomfortable (especially the subject of such speech). But that discomfort is the price we pay to live in a country where people decide

for themselves what to say and what to believe, as free as possible from government involvement in the matter. The Supreme Court in *McIntyre* went on to note that, "Under our Constitution, anonymous pamphleteering is not a pernicious, fraudulent practice, but an honorable tradition of advocacy and of dissent." *Id.* at 356.

Seventh, the government's interest in requiring disclosure diminishes as the dollar amount of the expenditure diminishes, and at some point the government's interest is outweighed by the individual's interest in anonymity. Among the government's interests that support disclosure requirements are the prevention of corruption and the appearance of corruption. The ACLU of Maine believes that it is exceedingly unlikely that any political candidate would be corrupted by an independent expenditure of less than \$1000. That amount, rather than \$100 proposed and included in current law, seems like a much more reasonable threshold for subjecting an individual's speech to government regulation. In the recent litigation between the Commission and the National Organization for Marriage, the amount in question was more than \$1 million. The ACLU of Maine believes that the lower-cost speech can, and should, be left to the marketplace of ideas to regulate.

If there is anything further that the ACLU of Maine can provide to assist in your deliberations, please do not hesitate to ask.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Zachary L. Heiden', with a stylized, elongated flourish extending to the right.

Zachary L. Heiden, Esq.  
Legal Director



# MPA Maine Press Association

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March 12, 2012

VIA E-MAIL & HAND DELIVERY

Mr. Jonathan Wayne  
Executive Director  
State of Maine  
Commission on Governmental Ethics and Election Practices  
135 State House Station  
Augusta, ME 04333

**Re: Maine Press Association Comments on Proposed Rule Amendments to  
Chapters 1 and 3 of the Commission's Rules**

Dear Jonathan:

The Maine Press Association provides these comments on the proposed rule amendments to Chapters 1 and 3 of the Rules of the Commission on Governmental Ethics and Election Practices ("Ethics Commission"). The MPA, representing the state's newspaper industry, consists of more than 40 weekly and daily papers across the state.

In Maine campaign finance law, "news media which periodically publish news stories, editorials, or commentaries are exempt from campaign finance reporting requirements." Specifically, sub-section 10 of Section 7 of Chapter 1 proposes a rule interpreting this "press exception" to the definition of "expenditure" in Ethics Commission rules, particularly with respect to Internet publishers.

The MPA supports this clarification of the statute. However, we also propose that some language regarding the creation of original content be inserted into the definition of "periodical publication." Gathering and disseminating news articles is not the same as creating your own, and the creation of content -- in whatever form -- is the core definition of the "press." The MPA suggests that language to the effect that original news content must be created by and attributed to the press organization in order to qualify for the "press exception" (i.e. no re-writing press releases). Specifically, the rule should have a minimum percentage of original content requirement—e.g. 25%.

Therefore, the MPA suggests the following new criterion in Chapter 1, Section 7, sub-section 10:

"the publication must be composed of at least 25% original content;"

Thank you for the opportunity to provide comments on these proposed Ethics Commission rule amendments.

Sincerely,

/s/

Michael J. Dowd,  
Editor-in-Chief, Bangor Daily News  
President, Maine Press Association



**Chapter 1: PROCEDURES**

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**SUMMARY:** This Chapter describes the nature and operation of the Commission, and establishes procedures by which the Commission's actions will be governed.

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**SECTION 1. DEFINITIONS**

In addition to the definitions provided in Title 21-A, chapters 1, 13, and 14, the following definitions shall apply to the rules of the Commission, unless the context otherwise requires:

...

11-A. **Influence.** "Influence" means to promote, support, oppose or defeat.

**SECTION 4. INITIATION OF PROCEEDINGS**

...

**2. Election Campaign Reporting and Maine Clean Election Act Violations**

- A. **Report Review.** The Commission staff will review all reports filed pursuant to 21-A M.R.S.A., chapters 13 and 14 to verify compliance with the reporting requirements set by statute or rule. Notice of any omission, error, or violation will be given by mail to the filer and a copy of the notice and any other communication made to or from the filer relating to the problem(s) will be placed in the filer's record. The Commission staff will establish a reasonable time period for the filer to remedy any omission or error. If the filer fails to respond within that time frame, the Commission staff may extend the time period within which the filer must comply or place the matter on the agenda of the next Commission meeting, along with all documents relating to the case. Additionally, any apparent violations or occurrences of substantial nonconformance with the requirements of the law will be placed on the agenda of the next meeting.
- B. **Late Reports and Registrations.** Where required by statute, notice of failure to file a required report will be timely sent by Commission staff. When a report or registration is filed late, the Director's recommendations will be based on the following considerations:
- (1) Lateness of report or registration,
  - (2) Reason for lateness,
  - (3) Kind of report (more stringent application for pre-election reports),
  - (4) Amount of campaign funds not properly reported,

- (5) Previous record of the filer,
  - (6) Good faith effort of the filer to remedy the matter; and
  - (7) Whether the late filing had an effect on a certified candidate's eligibility for matching funds.
- C. ~~Reports of noncompliance with the provisions of the campaign registration and reporting laws or the Maine Clean Election Act that may come to the attention of the Commission staff from any source other than review of the reports filed will be reported to the Commission Chair. Any person (as defined in 21-A M.R.S.A. §1001) may make an official complaint or request for a Commission investigation or determination by filing a signed written request at the Commission's office, setting forth such facts with sufficient details as are necessary to specify the alleged violation. A copy of the signed request may be filed by facsimile or by electronic mail, provided that the original signed request is submitted to the Commission. Statements should be made upon personal knowledge. Statements which are not based upon personal knowledge must identify the source of the information which is the basis for the request, so that respondents and Commission staff may adequately respond to the request. A copy of any such written request will be promptly mailed to the candidate or organization alleged to have violated the statutory requirements. The Director may conduct preliminary fact finding to prepare a matter for presentation to the Commission. The Director, in consultation with Counsel, will prepare a summary of staff findings and recommendations for inclusion on the agenda. An official request will be placed on the agenda of the next Commission meeting.~~
- D. An oral report of a violation, or a written request containing insufficient detail to specify the violation charged, does not constitute an official request for a Commission determination, and a person registering such a complaint will be so notified.
- E. The signature of a person authorized to sign a report or form constitutes certification by that person of the completeness and accuracy of the information reported. The use of a password in filing an electronic report constitutes certification of the completeness and accuracy of the report.

### 3. Lobbyist Disclosure Procedures

- A. ~~**Report Review.** The Commission staff will monitor all filings made pursuant to 3 M.R.S.A. §311 *et seq.* for timeliness, legibility, and completeness. The staff will send the lobbyist a notice of any apparent reporting deficiency, including failure to use prescribed forms. The notice will include a request that the deficiency be corrected within 15 business days of the notice. If remedy is not made, it will be noted on the agenda of the next Commission meeting. The Commission may reject reports that are incomplete or illegible.~~

**Report Review.** The Commission staff will review lobbyist registrations and monthly reports for compliance with disclosure requirements. The Commission staff will establish a reasonable deadline by which a lobbyist must remedy any apparent omission or error. If the lobbyist fails to respond by the deadline, the

Commission staff may extend the deadline by which the lobbyist must comply or may place the matter on the agenda of a Commission meeting. Additionally, the Commission staff may place on the agenda of a Commission meeting any substantial violation of the disclosure requirements, regardless of whether the lobbyist has remedied the violation.

- B. **Late Registrations and Reports.** Notice will be given by mail to any lobbyist whose registration, or monthly disclosure report, or annual report is delinquent is late. In the case of a late monthly report, the notice must be mailed within 7- business days following the filing deadline for the report. In the case of late- annual reports and registrations, the notice must be mailed within 15 business- days following the filing deadline. The notice must include a statement- specifying the amount assessed. A penalty of \$100 will be assessed the lobbyist- for every month that a monthly disclosure report is late and a penalty of \$200- will be assessed the lobbyist and employer for every month a registration or- annual report is filed late. The Commission and its staff shall follow the notice and penalty procedures set out in 3 M.R.S.A. § 319(1). For purposes of 3 M.R.S.A. §319(1), the month will end on the 15th day of the month following the month in which a report was due. Any failure to submit a required report, registration, or penalty fee will be noted on the Commission agenda.
- C. **Suspensions.** The Commission may suspend any person from lobbying who fails to file a required report or pay an assessed fee. A notice of the suspension must be mailed to the lobbyist by U.S. Certified Mail within three days following the suspension. Reinstatement will occur on the date the required report or payment is received in the Commission office. A notice of the reinstatement must be mailed to the lobbyist by U.S. Certified Mail or given directly to the lobbyist within three days following receipt of the required report or payment.
- D. **Request for Penalty Waiver.** A lobbyist may request a waiver of any late penalty the lobbyist incurs. The request must be made in writing to the Commission and must state the reason for the delinquency. Any such request must be noted on the agenda of the next Commission meeting. Only the Commission may grant penalty waivers.
- E. **Request for Waiver of Nonsession Reporting Requirement.** A lobbyist may request a waiver of the monthly nonsession reporting requirement set forth in 3 M.R.S.A. §317(4) if the lobbyist does not expect to be engaged in lobbying when the Legislature is not in session. The Director is authorized to provisionally grant such waivers pending approval by the Commission. Provisional waivers may be granted only where a request is properly filed, the statement properly completed, and where there is no apparent reason to doubt the statement is true. During the period in which the waiver is effective, reports will not be required. If lobbying is resumed during the period for which the waiver was granted, the lobbyist must file a monthly disclosure report for the month or months lobbying was conducted.
- F. **Faxing Duly Executed Lobbyist Registration, Reports.** Any registration or report required by 3 M.R.S.A. chapter 15 may be provisionally filed by transmission of a facsimile copy of the duly executed report to the Commission, provided that the original of the same report is received by the Commission within 5 calendar days thereafter.

4. **Matters Outside the Commission's Jurisdiction.** If the Director and Counsel are in agreement that the subject matter of a request for an investigation is clearly outside the jurisdiction of the Commission, the staff may forward the request to the appropriate authority or return it to the person who made the request, provided that the staff notifies the Commission members of the action at the next Commission meeting.

## SECTION 6. CONTRIBUTIONS AND OTHER RECEIPTS

10. Funds or services received solely for the purpose of conducting activities to determine whether an individual should become a candidate are not contributions if the individual does not become a candidate. Examples of such activities include, but are not limited to, conducting a poll, telephone calls, and travel. The individual shall keep records of all such funds or services received. If the individual becomes a candidate, the funds or services received are contributions and are subject to the reporting requirements of 21-A M.R.S.A. § 1017. The amount and source of such funds or the value of services received must be disclosed in the first report filed by the candidate or the candidate's authorized campaign committee, regardless of the date when the funds or services were received, in accordance with the Commission's procedures for reporting contributions.

Funds or services used by an individual for activities indicating that he or she has decided to become a candidate for a particular office are contributions. Examples of such activities include, but are not limited to: using general public political advertising to publicize his or her intention to campaign for office; hiring staff or consultants for campaign activities; raising funds in excess of what could reasonably be expected to be used for exploratory activities; making or authorizing statements that refer to him or her as a candidate; or taking action to qualify for the ballot.

## SECTION 7. EXPENDITURES

1. **Expenditures by Consultants, Employees, and Other Agents of a Political Campaign.** Each expenditure made on behalf of a candidate, political committee, or political action committee by any person, agency, firm, organization, etc., employed or retained for the purpose of organizing, directing, managing or assisting the candidate, the candidate's committee, or the political action committee must be reported separately by the candidate or committee as if made or incurred by the candidate or committee directly. The report must include the name of the third party vendor or payee to whom the expenditure was made, the date of the expenditure, and the purpose and amount of the expenditure. It is not sufficient to report only the total retainer or fee paid to the person, agency, firm, organization, etc., if that retainer or fee was used to pay third party vendors or payees for campaign-related goods and services.
2. **Expenditures by Political Action Committees.** In addition to the requirements set forth in 21-A M.R.S.A. §1060(4), the reports must contain the purpose of each expenditure and the name of each payee and creditor.

### 3. **Timing of Reporting Expenditures**

- A. Placing an order with a vendor for a good or service; signing a contract for a good or service; the delivery of a good or the performance of a service by a vendor; or a promise or an agreement (including an implied one) that a payment will be made constitutes an expenditure, regardless whether any payment has been made for the good or service.
- B. Expenditures must be reported at the earliest of the following events:
  - (1) The placement of an order for a good or service;
  - (2) The signing of a contract for a good or service;
  - (3) The delivery of a good or the performance of a service by a vendor;
  - (4) A promise or an agreement (including an implied one) that a payment will be made; or
  - (5) The making of a payment for a good or service.
- C. At the time the duty to report an expenditure arises, the person submitting the report is required to determine the value of goods and services to be rendered (preferably through a written statement from the vendor) and to report that value as the amount of the expenditure. If the expenditure involves more than one candidate election, the report must include an allocation of the value to each of those candidate elections.

### 4. ~~Advance Purchases of Goods and Services for the General Election~~

- A. ~~Consulting services, or the design, printing or distribution of campaign literature or advertising, including the creation and broadcast of radio and television advertising, contracted or paid for prior to the primary election must be received prior to the primary election in order to be considered primary election expenditures.~~
- B. ~~If the Commission receives a complaint stating that a candidate or a committee purchased goods or services before a primary election for use in the general election, the Commission may request that the candidate or committee distinguish which of the goods and services were used in the primary election and which were used in the general election.~~

- 5. All campaign-related payments made with the personal funds or credit card of the candidate or an individual authorized by the candidate must be reported as expenditures in the reporting period during which the payment to the vendor or payee is made. The candidate must report the name of the vendor or payee to whom the payment was made, the date of the expenditure, and the purpose and amount of the expenditure. When the expenditure is reported, the candidate should indicate the person who made the payment by entering "Paid by [name of candidate or supporter]" in the remarks section of the expenditure schedule. It is not sufficient to report only the name of the candidate or authorized individual to whom reimbursement was made and the total amount of the

reimbursement. If a Maine Clean Election Act candidate or an individual authorized by the candidate uses his or her personal funds to make an expenditure on behalf of the candidate, the campaign candidate or the individual must be reimbursed the candidate within the same reporting period.

6. Multiple expenditures for bank fees and for vehicle travel may be reported in an aggregate amount, provided that the candidate or committee identifies the time period of the expenditures in the remarks section of the report.
7. When a political action committee or party committee makes an expenditure for a communication to voters for the purpose of influencing the election of a clearly identified candidate, the amount spent to influence that candidate's election must be specified on the regularly filed campaign finance report of the committee, regardless whether the communication expressly advocates for the election or defeat of the candidate. If a single expenditure influences the election of more than one candidate, the political action committee or party committee shall itemize the amount spent per candidate.
8. Payments made or obligations incurred solely for the purpose of conducting activities to determine whether an individual should become a candidate are not expenditures if the individual does not become a candidate. Examples of such activities include, but are not limited to, conducting a poll, telephone calls, and travel. The individual shall keep records of all such payments and obligations. If the individual becomes a candidate, the payments made or obligations incurred are expenditures and are subject to the reporting requirements of 21-A M.R.S.A. § 1017. Such expenditures must be disclosed in the first report filed by the candidate or the candidate's authorized campaign committee, regardless of the date when the funds were expended, in accordance with the Commission's procedures for reporting expenditures.

Payments made for activities indicating that an individual has decided to become a candidate for a particular office are expenditures. Examples of such activities include, but are not limited to: using general public political advertising to publicize his or her intention to campaign for office; hiring staff or consultants for campaign activities; raising funds in excess of what could reasonably be expected to be used for exploratory activities; making or authorizing statements that refer to him or her as a candidate; or taking action to qualify for the ballot.

**9. Exception to Disclaimer Requirements for Certain Handbills, Campaign Signs, and Internet or E-Mail Communications**

**A. Definitions.**

For purposes of this section, the following terms have the following meanings:

- (1) "Internet or e-mail communication" means any communication transmitted over the Internet, including but not limited to: sending or forwarding electronic messages; social networking; providing a hyperlink or other direct access to another person's website; creating, maintaining or hosting a website or blog; placing material on another person's website; and any other form of communication distributed over the Internet.

- (2) “cost of the communication” means all disbursements of money made or obligations incurred to create, design, prepare, or distribute the communication, and the value of all goods or services which have been provided for the purpose of creating, designing, preparing, or distributing the communication.

B. Exemption for Certain Handbills, Campaign Signs, and Internet and E-Mail Communications.

- (1) Under Title 21-A, chapter 13, subchapter II [§ 1014(6)], a handbill, campaign sign or Internet or e-mail communication is exempt from the disclosure requirements of § 1014 if the total cost of the communication is less than \$100 and the communication was produced and distributed independently of and without the authorization by a candidate or the candidate’s authorized campaign committee, a political party committee, a political action committee, a ballot question committee, or their agents.
- (2) In determining whether a handbill, campaign sign, or Internet or e-mail communication was produced and distributed independently of and without authorization by a candidate, committee or their agents, the Commission will consider whether:
- (a) the handbill, campaign sign, or Internet or e-mail communication was created, designed, prepared, or distributed at the suggestion or request of, or with the direct or indirect authorization of, a candidate or the candidate’s authorized campaign committee, a political party committee, a political action committee, a ballot question committee, or their agents;
  - (b) the individuals who created, designed, prepared, or distributed the handbill, campaign sign, or Internet or e-mail communication have been compensated or reimbursed for expenditures by a candidate or the candidate’s authorized campaign committee, a political party committee, a political action committee, a ballot question committee, or their agents for the purpose of influencing the candidate or ballot question election that is the subject of the communication; and
  - (c) at the time of the creation of the handbill, campaign sign or Internet or e-mail communication, the individuals who created, designed, prepared, or distributed the communication were required to file campaign finance reports with the Commission or to register with the Commission under Title 21-A, chapter 13.

10. Press exemption. The costs incurred in preparing or publishing a news story, commentary or editorial distributed through the facilities of any broadcasting station, newspaper, magazine, or other periodical publication are exempt from the definitions of expenditure, under Title 21-A, chapter 13, subchapters II and IV [§§ 1012(3)(B)(1) & 1052(4)(B)(1)].

This exemption applies to the costs for a "periodical publication" in electronic form distributed on the Internet that meets the following criteria:

- a. the publication either (i) has been gathering and disseminating news stories, commentaries or editorials on a variety of topics to the general public on a periodic basis for a period of at least the previous twelve months, or (ii) if it has been publishing on the Internet for a period of less than twelve months, has a record of gathering and disseminating news stories, commentaries or editorials on a variety of topics to the general public that indicates that the persons or entities who own, control and operate the publication have the intention to continue publishing on a periodic basis beyond the election cycle during which the media exemption is claimed;
- b. the names of the persons or entities who own, control and operate the publication are identified within the publication;
- c. the names of the authors, editors and other individuals responsible for the content of the publication are identified within the publication;
- d. none of the individuals or entities described in paragraphs b and c of this subsection are being compensated for or reimbursed for expenditures relating to the publication by a candidate, candidate's authorized campaign committee, political party committee, political action committee, or ballot question committee, or their agents for the purpose of influencing the candidate or ballot question election that is the subject of the news story, commentary, or editorial; and
- e. the facilities are not owned or controlled by any political party, political committee, candidate or candidate's immediate family.

## **SECTION 9. ACCELERATED REPORTING SCHEDULE**

1. **General.** In addition to other reports required by law, any candidate for Governor, State Senator or State Representative who is not certified as a Maine Clean Election Act candidate under Title 21-A §1121 *et seq.*, and who has a certified candidate as an opponent in an election must comply with the following reporting requirements on forms prescribed, prepared, and provided by the Commission:

INFORMATIONAL NOTE: Title 21-A §1017 prescribes reporting requirements for candidates.

2. **Trigger Report.** Any candidate subject to this section, who receives, spends or obligates more than the primary or general election distribution amounts for a Maine Clean Election Act candidate opponent in the same race, must file with the Commission, within 48 hours of such receipt, expenditure, or obligation, a report detailing the candidate's total campaign contributions, receipts, expenditures and obligations to date. The Commission will notify all candidates who have an opposing certified candidate of the applicable distribution amounts and of the trigger report requirement.



3. ~~A nonparticipating candidate who is required to file a report under subsection 2 shall file no later than 5:00 p.m.:~~

A. ~~a report on the 42nd day before the date on which an election is held that is complete as of the 44th day before that date;~~

B. ~~for gubernatorial candidates only, a report on the 25th day before the date on which an election is held that is complete as of the 27th day before that date; and~~

C. ~~a report on the 18th day before the date on which an election is held that is complete as of the 20th day before that date; and~~

D. ~~a report on the 6th day before the date on which an election is held that is complete as of the 8th day before that date.~~

4. ~~**24 Hour Report.** Any candidate who is required to file a trigger report must file an updated report with the Commission reporting single expenditures of \$1,000 or more by candidates for Governor, \$750 by candidates for State Senator, and \$500 by candidates for State Representative made after the 14th day before any election and more than 24 hours before 11:59 p.m. on the date of that election. The report must be submitted to the Commission within 24 hours of those expenditures.~~

5. ~~**Filing by Facsimile or Electronic Means.** For purposes of this section, reports may be filed by facsimile or by other electronic means acceptable to the Commission, and such reports will be deemed filed when received by the Commission provided that the original of the same report is received by the Commission within 5 calendar days thereafter.~~

## SECTION 10. REPORTS OF INDEPENDENT EXPENDITURES

1. **General.** Any person, party committee, political committee or political action committee that makes an independent expenditure aggregating in excess of \$100 per candidate in an election must file a report with the Commission according to this section.

2. **Definitions.** For purposes of this section, the following phrases are defined as follows:

A. "Clearly identified," with respect to a candidate, has the same meaning as in Title 21-A, chapter 13, subchapter II.

B. "Expressly advocate" means any communication that

- (1) uses phrases such as "vote for the Governor," "reelect your Representative," "support the Democratic nominee," "cast your ballot for the Republican challenger for Senate District 1," "Jones for House of Representatives," "Jean Smith in 2002," "vote Pro-Life" or "vote Pro-Choice" accompanied by a listing of clearly identified candidates described as Pro-Life or Pro-Choice, "vote against Old Woody," "defeat" accompanied by a picture of one or more candidate(s), "reject the incumbent," or communications of campaign slogan(s) or individual word(s), which in context can have no other reasonable meaning than to urge the election or defeat of one or more clearly identified candidate(s),

such as posters, bumper stickers, advertisements, etc. which say "Pick Berry," "Harris in 2000," "Murphy/Stevens" or "Canavan!"; or

- (2) is susceptible of no reasonable interpretation other than as an appeal to vote for or against a clearly identified candidate.

C. "Independent expenditure" has the same meaning as in Title 21-A §1019-B. Any expenditure made by any person in cooperation, consultation or concert with, or at the request or suggestion of, a candidate, a candidate's political committee or their agents is considered to be a contribution to that candidate and is not an independent expenditure.

3. **Reporting Schedules.** Independent expenditures must be reported to the Commission in accordance with the following provisions:

A. Independent expenditures aggregating in excess of \$100 per candidate per election made by any person, party committee, political committee or political action committee must be reported to the Commission in accordance with the following reporting schedule, unless required to be reported according to the schedule in paragraph B.

~~(1) — Quarterly Reports. Quarterly reports must be filed by 5:00 p.m. on:~~

~~(a) — January 15th and be complete as of December 31st;~~

~~(b) — April 10th and be complete as of March 31st;~~

~~(c) — July 15th and be complete as of June 30th; and~~

~~(d) — October 5th and be complete as of September 30th.~~

(1-A) 60-Day Pre-Election Report. A report must be filed by 5:00 p.m. on the 60th day before the election is held and be complete as of the 61st day before the election.

~~(2)(1-B)~~ 11-Day Pre-Election Report. A report must be filed by 5:00 p.m. on the 14th 11th day before the election is held and be complete as of that day the 14th day before the election.

If the total of independent expenditures made to support or oppose a candidate exceeds \$100, each subsequent amount spent to support or oppose the candidate must be reported as an independent expenditure according to the schedule in this paragraph or paragraph B.

B. Independent expenditures aggregating in excess of \$250 per candidate made during the sixty days before an election must be reported within two calendar days of those expenditures.

[NOTE: WHEN THE CUMULATIVE AMOUNT OF EXPENDITURES TO SUPPORT OR OPPOSE A CANDIDATE EXCEEDS \$250, AN INDEPENDENT EXPENDITURE REPORT MUST BE FILED WITH THE COMMISSION WITHIN TWO DAYS OF GOING OVER THE \$250 THRESHOLD.]

FOR EXAMPLE, IF AN INDIVIDUAL, ORGANIZATION OR COMMITTEE MAKES THREE EXPENDITURES OF \$100 IN SUPPORT OF A CANDIDATE ON SEPTEMBER 8TH, SEPTEMBER 13TH, AND SEPTEMBER 29TH, FOR AN ELECTION ON NOVEMBER 6, 2012, AN INDEPENDENT EXPENDITURE REPORT MUST BE FILED BY OCTOBER 1ST. THE THIRD EXPENDITURE OF \$100 MADE THE CUMULATIVE TOTAL OF EXPENDITURES EXCEED \$250 AND THE TWO-DAY REPORTING REQUIREMENT WAS TRIGGERED ON SEPTEMBER 29TH. THE REPORT MUST INCLUDE ALL THREE EXPENDITURES.

AFTER SEPTEMBER 29TH, IF THAT INDIVIDUAL, ORGANIZATION OR COMMITTEE MAKES ADDITIONAL EXPENDITURES TO SUPPORT THAT CANDIDATE, THE REQUIREMENT TO FILE AN INDEPENDENT EXPENDITURE REPORT WITHIN TWO DAYS WILL APPLY ONLY IF THE CUMULATIVE TOTAL SPENT AFTER SEPTEMBER 29TH EXCEEDS \$250. FOR EXAMPLE, IF THE INDIVIDUAL, ORGANIZATION OR COMMITTEE MAKES TWO PAYMENTS OF \$200 TO PROMOTE THE CANDIDATE ON OCTOBER 8TH AND OCTOBER 13TH, ANOTHER INDEPENDENT EXPENDITURE REPORT MUST BE FILED BY OCTOBER 15TH DISCLOSING THOSE TWO EXPENDITURES.]

Independent expenditures aggregating in excess of \$100 per candidate made after the 14th day before an election must be reported within one calendar day of those expenditures.

For purposes of the filing deadlines in this paragraph, if the expenditure relates to a legislative or gubernatorial election and the filing deadline occurs on a weekend, holiday, or state government shutdown day, the report must be filed on the deadline. If the expenditure relates to a county or municipal election, the report may be filed on the next regular business day.

- C. Reports must contain information as required by Title 21-A, chapter 13, subchapter II (§§ 1016-1017-A), and must clearly identify the candidate and indicate whether the expenditure was made in support of or in opposition to the candidate. Reports filed after the eighth day before an election must include the following information:
1. the date on which the person making the expenditure placed the order with the vendor for the goods or services;
  2. the approximate date when the vendor began providing design or any other services in connection with the expenditure;
  3. the date on which the person making the expenditure first learned of the total amount of the expenditure; and
  4. a statement why the expenditure could not be reported by the eighth day before the election.

- D. A separate 24-Hour Report is not required for expenditures reported in an independent expenditure report.
- E. An independent expenditure report may be provisionally filed by facsimile or by electronic mail to an address designated by the Commission, as long as the facsimile or electronic copy is filed by the applicable deadline and an original of the same report is received by the Commission within five calendar days thereafter.

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### **SECTION 13. REPORTS OF COMMUNICATIONS BY MEMBERSHIP ORGANIZATIONS OR CORPORATIONS**

When a membership organization or corporation is required under 21-A M.R.S.A. § 1019-A to file a report of a communication to members or shareholders, the organization or corporation must file the following reports by 11:59 p.m. on the following deadlines:

1. A report must be filed on the 42nd day before the election is held and be complete as of the 49th day before the election.
2. A report must be filed on the 3rd day before the election is held and be complete as of the 5th day before the election.
3. A report must be filed on the 42nd day after the election is held and be complete as of the 35th day after the election.